

**RECORDS RETENTION AND DISPOSITION SCHEDULE**  
**VDOT Specific Schedule No. 501-003: Districts**

Agency: Department of Transportation  
Division: Location and Design Division

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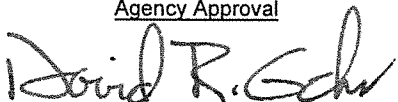
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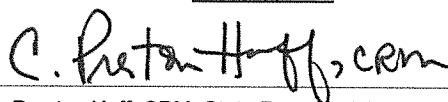
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This schedule is continuing authority under the provisions of the Virginia Public Records Act 42.1-76 et seq. Code of Virginia, for the retentions and disposition of the records as stated. This schedule supersedes previously approved applicable schedules. Request approval on Form RM-3, Certificate of Records Disposal, for the destruction of record series noted in this schedule. Any records created prior to the Constitution of 1902 must first be offered to the LVA before applying these disposition instructions.

Agency Approval

David R. Gehr, Commissioner

State Approval


C. Preston Huff, CRM, State Records Administrator

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Comptroller or Deputy

APR 07 1998

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Effective Date

Bruce L. White, CRM, Agency Records Manager

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Subunit: Districts General

Records Series Title and Description	RS#	Scheduled Retention and Disposition
<u>Equipment Files</u>  Records series contains inventory of equipment assigned to the District, maintenance and repair records.	1398	Retain until equipment is disposed of, then destroy.
<u>General Information Files</u>  Records Series pertains to various subjects of a general / miscellaneous nature. Subjects may include: environmental bridge permit file, County plan review file, project status reports, agreement files, route files, graphics, railroad alignment / improvement studies, survey diaries, residency six-year plans, VDOT six-year plans, etc.	1387	Retain until superseded, then destroy.
<u>PIMS Reports, Copies</u>  Records series are printouts from the Purchasing Inventory Management System (PIMS) which reports supplies on hand and inventory of equipment. Requests for supplies and equipment are also filed here. Administrative Services is the Office of Record for this database.	1399	Retain until no longer administratively useful, then destroy.
<u>Project Oversight Files</u>  Records Series pertains to documentation of quality assurance / quality control of VDOT project performance. The reviews are conducted by VDOT staff, Value Engineering study coordinator, or by Management Services Division. These are copies of the summaries and findings.	1386	Retain until construction has been completed, then destroy.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<u><b>Drawings, As-Built - Aperture Cards</b></u>  As-Built are tracings from the original plans showing the center line, beginning and end station, project number, 50 foot stations, and edges of pavement. They are drawn by the inspectors. They are sent to Central Office for microfilming.	1385	Retain for five (5) years after final payment, then destroy.
<u><b>Drawings, As-Built - Paper</b></u>  As-Built are tracings from the original plans showing the center line, beginning and end station, project number, 500 foot stations and edges of pavement. They are drawn by the inspectors. These are sent to Central Office to be microfilmed.	1384	Destroy when aperture cards have been received from Central Office.
<u><b>Finals, Construction</b></u>  Records Series pertains to construction documentation that consists of: project work books, material notebooks, project diaries, project tickets (receipts), reasons for difference, invoices, summary notebook, etc. This documentation describes daily details of construction and is used as verification for payment.	1368	Retain for five (5) years after construction is completed, then destroy.
<u><b>Project File, L&amp;D Design - District (Paper) - Not Within 6 Year Plan</b></u>  This Records Series pertains to the official project file of those projects administered by the District. Copies of all key documents have historically been sent to Central Office L&D. The files contain various documents pertaining to the design and construction of a roadway. Includes preliminary design documentation. Plan assembly includes designs and surveys, field inspections, right of way documents as well as various documents from other Divisions.	1340	Microfilm and place into rolls of microfilm, and destroy originals after QC, Indexing, and Acceptance.
<u><b>Project Files, L&amp;D Design - District (Microfilm)</b></u>  This Records Series pertains to the official project file of those projects administered by the District. Copies of all key documents have historically been sent to Central Office L&D. The files contain various documents pertaining to the design and construction of a roadway. Plan assembly includes designs and surveys, field inspections, right of way documents, as well as various documents from other Divisions.	1341	Maintain in VDOT for the Life of the Roadway or until the maintenance of the roadway is no longer the responsibility of VDOT, then destroy.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<u>Project Files, L&amp;D Design - District - Copies</u> This Records Series pertains to duplicates of the official project file that various individuals in L&D retain while the project is in progress.	1348	Destroy upon completion of project construction.
<u>Project Files, L&amp;D Design - District - CADD</u> These are the CADD plans that are captured in ARMS or those original hardcopy plans that were scanned into ARMS. These are design plans that are generated in the Districts by in-house designers or consultants.	1346	Upon demolition, obscurement, or relinquishment of ownership of the road, output the applicable plans to microfilm or paper and retain permanently. Retain in VDOT or transfer to the Library of Virginia Archives. Remove the image from ARMS.
<u>Project Files, L&amp;D Design - District - Digital Media (ARMS)</u> This Records Series pertains to the official project file of those projects administered by the District. Copies of all key documents have historically been sent to Central Office L&D. The files contain various documents pertaining to the design and construction of a roadway. Plan assembly includes design and surveys, field inspections, right of way documents, as well as various documents from other Divisions.	1342	Delete ARMS image when roadway is no longer maintained by VDOT.
<u>Project Files, L&amp;D Design - District(Paper) - Within 6 Year Plan</u> This Records Series pertains to the official project file of those projects administered by the District. Copies of all key documents have historically been sent to Central Office L&D. The files contain various documents pertaining to the design and construction of a roadway. Plan assembly includes designs and surveys, field inspections, right of way documents, as well as various documents from other Divisions. Includes preliminary design documentation.	1339	Scan active files and destroy originals after QC, Indexing, and Acceptance. Prior to scanning weed out obvious duplicates and non-essential information.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><b><u>Project Files, No Plans - District</u></b></p> <p>These projects are of short duration generated by the Residency 6-Year Plan. They are minor construction projects that involve both federal and state funding but they do not go through the Preliminary Engineering and detailed Design stages. They do not require full plans but sketches may be in the file along with correspondence, cost estimates, and may include a copy of the contract.</p>	1378	Retain for three (3) years after construction completed, then destroy.
<p><b><u>Project Files, Preliminary Design</u></b></p> <p>Records Series pertains to documentation of pre-design activities prior to project number assignment. Central Office manages and tracks pre-design project development. Some Districts call this file the General Project File. This Records Series also includes general planning information from the Metropolitan Planning Organization (MPO) whose activities may impact the road system.</p>	1363	Retain until the project is activated or until the preliminary documentation has been deferred or declared inactive, at which time the file shall be transferred to the appropriate Records Series.
<p><b><u>Project Files, Special Advertisement and Award Process Projects (SAAP) - District</u></b></p> <p>These are small projects that require no plans and are entirely state-funded. They generally relate to maintenance contracts, i.e., paving, widening, or bridge repair work that is of short duration. File is a record of all project activities including design, construction, and finals. The District develops the contract to expedite procurement.</p>	1377	Retain for three (3) years after completion of the project, then destroy.
<p><b><u>Project Files, State Force - District</u></b></p> <p>Records Series pertains to projects that are designed and built with state funds and by state employees. These projects have not been done since around 1989.</p>	1379	Retain for three (3) years after completion of the project, then destroy.
<p><b><u>Project Plans - District - (Paper / Mylar / Linen) - Within 6 Year Plan</u></b></p> <p>These are design plans that are generated in the District by in-house designers or consultants.</p>	1343	Scan active files and destroy originals after QC, Indexing, and Acceptance.

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<u>Project Plans - District - Digital Media (ARMS) - Within 6 Year Plan</u> Project plans that were scanned into ARMS. (see RS # 1343)	2049	Retain permanently within VDOT.
<u>Project Plans, Copies</u> These are copies of design plans that are used in the Districts for reference.	1349	Retain until construction has been completed, then destroy.
<u>Project Plans, L&amp;D Design - District - (Paper / Mylar / Linen) - Not in 6 Year Plan</u> These are design plans that are generated in the District by in-house designers or consultants.	1344	Microfilm and place into aperture cards and destroy originals after QC, Indexing and Acceptance.
<u>Project Plans, L&amp;D Design - District - (Aperture Cards)</u> These are microfilmed completed L&D design plans that have been generated in the District by in-house designers or consultants. Completion of L&D design plans refers to completion of the design not construction.	1345	Retain permanently within VDOT.
<u>Project Supporting Documentation - Design</u> Records Series pertains to design plans that have been distributed for review and comment. Once the input has been incorporated into an update of the plan, the review document along with other pertinent design documents are retained to show what was agreed upon and at what stage of project development.	1366	Retain for five (5) years after construction is completed, then destroy.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<b><u>Projects, Deferred / Inactive</u></b>	<b>1365</b>	Retain until project resumes (reactivated), when project is declared officially closed, or when plans are outdated, destroy.

These are project files that have been placed on hold due to funding or political reasons. In most cases, deferred projects are seldom reinstated. These files should be reviewed every five (5) years to ensure consistent purging of files.

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<p><b><u>CADD Files, Hydraulics - District</u></b></p> <p>These files refer to the CADD-generated documents created in MicroStation. The electronic (CADD) files are of plans created for each project. Completed plans as printed out as paper for retention in the L&amp;D Plan File Room at Central Office.</p>	1358	Destroy five (5) years after completion of the project or when outdated or replaced whichever comes later.
<p><b><u>Drawings, Shop - Hydraulics</u></b></p> <p>When a contractor needs to alter a standard design, the contractor will send the alternate design to District Hydraulics through the Residency for review. If the design meets drainage standards, the design is sent to Central Office for review of structural integrity. Upon approval, the design will be added to the Central Office master file. This is a copy of the alternate design, retained for reference.</p>	1383	Retain until no longer applicable.
<p><b><u>Hydraulic Reviews</u></b></p> <p>Records Series pertains to special studies or reviews done by this Section that is not part of a project. They are a result of request for review from the Residency or the public or input from some other source.</p>	1362	Retain for three (3) years, then destroy.
<p><b><u>Land Use Permits, Copies</u></b></p> <p>Records Series pertains to developer request for use of VDOT right of way involving site development. A permit is issued for one year and may be extended for up to five years. One copy of the permit is retained by the Residency and one is forwarded to Central Office L&amp;D.</p>	1375	Retain until completion of the site development or the permit is canceled.
<p><b><u>Maps, Topographic</u></b></p> <p>Maps contain longitudes and latitudes and are divided into quadrangles. Maps are used for flight charts, locating wetlands, drainage designs and preliminary routing. Maps identify benchmarks, schools, churches, towns, cities and counties, elevations, roads, etc. The maps, which are obtained from the U.S. Department of Agriculture, are used for reference.</p>	1289	Retain until superseded, then destroy.



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<u>Project File, Hydraulics - District - (Paper) - Not in 6 Year Plan</u>  Records Series contains project support documentation that pertains to hydraulics. File is produced from an analytical process of the drainage plans / drawings produced by VDOT designers. Data includes input from a variety of sources: local zoning ordinances; topographic maps; land-use maps; aerial photographs; flood plain data; stream gauge data; run-off / rain-fall data; topographic charts; worksheets; etc.	1351	Microfilm and place into rolls of microfilm, and destroy originals after QC, Indexing, and Acceptance.
<u>Project File, Hydraulics - District - (Paper) - Within 6 Year Plan</u>  Records Series contains project support documentation that pertains to hydraulics. File is produced from an analytical process of the drainage plans / drawings produced by VDOT designers. Data includes input from a variety of sources: local zoning ordinances; topographic maps; land-use maps; aerial photographs; flood plain data; stream gauge data; run-off / rain-fall data; topographic charts; worksheets, etc.	1350	Scan active files and destroy originals after QC, Indexing, and Acceptance. Prior to scanning weed out obvious duplicates and any ephemeral documents such as envelopes.
<u>Project File, Hydraulics - District - Digital Media (ARMS)</u>  Records Series contains project support documentation that pertains to hydraulics. File is produced from an analytical process of the drainage plans / drawings produced by VDOT designers and consultants. Data includes input from a variety of sources: local zoning ordinances; topographic maps; land-use maps; aerial photographs; flood plain data; stream gauge data; run-off / rain-fall data; topographic charts, worksheets, etc.	1353	Delete ARMS image when roadway is no longer maintained by VDOT.
<u>Project File, Hydraulics - District - Microfilm</u>  These are microfilmed (rolled film) project support documentation that pertains to hydraulics. File is produced from an analytical process of the drainage plans / drawings produced by VDOT designers or consultants. Data includes input from a variety of sources: local zoning ordinances; topographic maps; land-use maps; aerial photographs; flood plain data; stream gauge data; run-off / rain-fall data; topographic charts; worksheets, etc.	1352	Maintain in VDOT for the Life of the Roadway or until the maintenance of the roadway is no longer the responsibility of VDOT, then destroy.

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<u>Project Files, Hydraulics - District - Copies</u>  This Records Series pertains to duplicates of the official project file maintained for reference by individual designers. These files contain various documents pertaining to the design and construction of a roadway.	1360	Destroy upon completion of project construction.
<u>Project Plans, Hydraulics - District - (Paper) - Not in 6 Year Plan</u>  Records Series pertains to the District drainage designs of every drainage facility of an entire project by adding detail to plain roadway plans. Historically, once the project was completed the plans were sent to the L&D Plan File Room for retention and coordination of microfilming.	1355	Microfilm and place into aperture cards and destroy originals after QC, Indexing, and Acceptance. (See RS # 1356)
<u>Project Plans, Hydraulics - District - (Paper) - Within 6 Year Plan</u>  Records Series pertains to the District drainage designs of every drainage facility of an entire project by adding detail to plain roadway plans. Historically, once the project was completed the plans were sent to the L&D Plan File Room for retention and coordination of microfilming.	1354	Scan active files and destroy originals after QC, Indexing, and Acceptance. (See RS # 1357)
<u>Project Plans, Hydraulics - District - Aperture Cards</u>  Records Series pertains to the District drainage designs of every drainage facility of an entire project by adding detail to plain roadway plans. Historically, once the project was completed the plans were sent to the L&D Plan File room for retention and coordination of microfilming.	1356	Maintain in VDOT for the Life of the Roadway or until the maintenance of the roadway is no longer the responsibility of VDOT, then destroy.
<u>Project Plans, Hydraulics - District - Copies</u>  This Records Series pertains to duplicates of the project plans maintained by individual designers for reference.	1359	Destroy upon completion of project construction.

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<u>Project Plans, Hydraulics - District - Digital Media (ARMS)</u>  Records Series pertains to the District drainage designs of every drainage facility of an entire project by adding detail to plain roadway plans. Historically, once the project was completed the plans were sent to the L&D Plan File Room for retention and coordination of microfilming.	1357	Delete ARMS image when roadway is no longer maintained by VDOT.
<u>Project Supporting Documentation - Hydraulics</u>  Records Series pertains to review of design plans. This is the Hydraulics Sections copy of the plan containing their calculations.	1367	Retain until construction has been completed, then destroy.
<u>River Mechanics Studies</u>  This Records Series pertains to the water surface profile for a structure that may increase the existing elevation of the flood plain. The stream or river is surveyed and calculations performed on the existing conditions as well as the proposed conditions. These calculations are created using computer simulations called "runs". In some Districts they are called Hydraulic Studies, or Flood Insurance Studies. The official copy of the study is retained in the Structure and Bridge Division Project File.	1361	Retain for five (5) years after construction is completed, then destroy.
<u>Studies, Flood Data</u>  Records Series contains studies performed by federal agencies concerning flood insurance. The Federal 100-year flood studies, commonly called FEMA Flood Studies, are issued for the National Flood Insurance Program. The Hydraulic Section uses this information when determining drainage requirements. The Department of Housing and Urban Development performs flood insurance studies in order to determine the elevations for streams, creeks, rivers, etc. The Corp. of Engineers performs studies on the regulatory floodway which gives the basis for a number of standards that VDOT must meet. This information is reference material.	1290	Retain until superseded, then destroy.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<b><u>Subdivision / Site Plan Files</u></b>	<b>1376</b>	Retain for five (5) years, then destroy.

Records Series pertains to development of private property that may impact drainage. If the developed property requires its streets to be incorporated into the road system, VDOT must ensure compliance with state guidelines. Files consist of correspondence, calculations, plans. Some Districts may also include rezoning information and street acceptance information, as well as tax maps in the files.

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Records Series Title and Description	RS#	Scheduled Retention and Disposition
<p><b><u>Control Data / Control Marks Books</u></b></p> <p>Records Series pertains to reference points, control marks (benchmarks) and marker disks. Some of the data is provided by the United States Coastal and Geodetic Survey. In these books the surveyors record elevations. The data provides the starting point for surveys. When needed, due to construction, VDOT may replace markers.</p>	1381	Retain as long as administratively useful, then destroy.
<p><b><u>Control Station Reference Cards</u></b></p> <p>File is a record of state monuments that are used as reference points to make survey measurements. There is a card for each monument in the District. Central Office Survey Section maintains a master set of the reference cards.</p>	1380	Retain as long as administratively useful, then destroy.
<p><b><u>Flood Data Surveys</u></b></p> <p>Records Series pertains to high water mark surveys taken due to flood conditions. Correspondence with Central Office Survey Section is also included in this file.</p>	1382	Retain as long as administratively useful, then destroy.
<p><b><u>Photographs, Aerial Survey</u></b></p> <p>Photographs taken from the air provide information related to locating and identifying water course, identifying ground cover, planning future growth in certain areas, determining future drainage needs for site developments, scoping purposes, and are used at public hearings for new projects. They are accessed by law enforcement, land developers, realtors, the public, and VDOT staff. They are sold to the public and other state agencies, but when used by VDOT staff for project-related work, the charges are directed to the project. These are District-specific photographs with the master set retained permanently by L&amp;D Central Office.</p>	1277	Retain each set of photographs until superseded.
<p><b><u>Photographs, Aerial Survey Index</u></b></p> <p>Photographs taken from the air provide information related to locating and identifying water course, identifying ground cover, planning future growth in certain areas, determining future drainage needs for site developments, scoping purposes, and are used at public hearings for new projects. This is an historical index of the aerial survey photographs retained for reference as a finding aid.</p>	1279	Retain all updates permanently in District.

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<u>Project Files, Survey Section - Paper</u> Files document the Survey Section input to the project. The documents contained in this file include: authorization letters (estimates), LD-40 Initial Field Review and Scoping Report with updates, completion letters, correspondence, etc.	1373	Retain until final payment, then destroy.
<u>Project Plans, Survey Section</u> Records Series pertains to a paper copy of road design plans used by the Survey Teams to stake the road for construction.	1372	Destroy when construction is complete.
<u>Project Plans, Survey Section - Paper</u> Records Series pertains to Section copy of the survey plan that is used for reference in the District. All Districts may not maintain a reference copy. The official record copy of the survey plan is contained in the design plans at the Central Office L&D File Room.	1371	Retain until project is completed, then destroy.
<u>Survey Books</u> Bound survey books date back to 1955. They were used by the survey crews for notes and calculations that established baseline and elevations for drawing plans. For the most part they are handwritten. This work is presently done digitally. They are seldom referenced. Central Office L&D maintains the official record and survey books in the Districts should be transferred to the Survey Section at Central Office.	1369	Transfer survey books to Survey Section, L&D Central Office.
<u>Survey Disk / CDs</u> The media contains raw data that establishes baseline and elevations for drawing plans. The disks are used by VDOT survey crews and the CDs are mostly used by contractors. This media replaced the "survey books." This data is loaded into a microstation file on the CADD system from which the plans are generated. The CADD system is located in District Design Section.	1370	Retain as long as administratively useful, then destroy.

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Records Series Title and Description

RS# Scheduled Retention and Disposition

Survey Monthly Report

1374 Retain until superseded, then destroy.

This report required by the Survey Manual, Section 2.01; used to report project numbers and current time spent on each project.